

Please type a plus sign (+) inside this box → ☒

PTO/SB/05 (11-00)

Approved for use through 10/31/2002. OMB 0651-0032

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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# UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No.	9-13528-177US
First Inventor	Scott S. PEGRUM
Title	HIGH AVAILABILITY PACKET FORWARDING APPARATUS AND METHOD
Express Mail Label No.	

## APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

## ADDRESS TO:

Assistant Commissioner for Patents  
Box Patent Application  
Washington, DC 20231

- ☒ Fee Transmittal Form (e.g., PTO/SB/17)  
(Submit an original and a duplicate for fee processing)
- ☐ Applicant claims small entity status.  
See 37 CFR 1.27.
- ☒ Specification [Total Pages **23**]  
(preferred arrangement set forth below)
  - Descriptive title of the invention
  - Cross Reference to Related Applications
  - Statement Regarding Fed sponsored R & D
  - Reference to sequence listing, a table, or a computer program listing appendix
  - Background of the Invention
  - Brief Summary of the Invention
  - Brief Description of the Drawings (if filed)
  - Detailed Description
  - Claim(s)
  - Abstract of the Disclosure
- ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets **4**]
- Oath or Declaration [Total Pages **1**]
  - ☒ Newly executed (original or copy)
  - ☐ Copy from a prior application (37 CFR 1.63 (d))  
(for continuation/divisional with Box 18 completed)
    - ☐ **DELETION OF INVENTOR(S)**  
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
- ☒ Application Data Sheet. See 37 CFR 1.76

- ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
- Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
  - ☐ Computer Readable Form (CRF)
  - Specification Sequence Listing on:
    - ☐ CD-ROM or CD-R (2 copies); or
    - ☐ paper
  - ☐ Statements verifying identity of above copies

## ACCOMPANYING APPLICATION PARTS

- ☒ Assignment Papers (cover sheet & document(s))
- ☐ 37 CFR 3.73(b) Statement (when there is an assignee) ☒ Power of Attorney
- ☐ English Translation Document (if applicable)
- ☐ Information Disclosure Statement (IDS)/PTO-1449 ☐ Copies of IDS Citations
- ☐ Preliminary Amendment
- ☒ Return Receipt Postcard (MPEP 503)  
(Should be specifically itemized)
- ☐ Certified Copy of Priority Document(s)  
(if foreign priority is claimed)
- ☐ Request and Certification under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.
- ☐ Other: \_\_\_\_\_

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP)

of prior application No: \_\_\_\_\_ / \_\_\_\_\_

Prior application information:

Examiner: \_\_\_\_\_

Group Art Unit: \_\_\_\_\_

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

## 19. CORRESPONDENCE ADDRESS

☒ Customer Number or Bar Code Label **020988** or ☐ Correspondence address below  
(Insert Customer No. or Attach bar code label here)

Name	Ogilvy Renault				
Address					
City	State	Zip Code			
Country	Telephone	613-230-6072	Fax	613-230-6706	

Name (Print/Type)	Max R. Wood	Registration No. (Attorney/Agent)	40,388
Signature		Date	12/21/2001

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

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# FEE TRANSMITTAL for FY 2002

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT (\$ ) 942.00

## Complete if Known

Application Number	
Filing Date	
First Named Inventor	Scott S. PEGRUM
Examiner Name	
Group Art Unit	
Attorney Docket No.	9-13528-177US

## METHOD OF PAYMENT

1. ☐ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number: 19-5113  
Deposit Account Name: OGILVY RENAULT

☒ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17

☐ Applicant claims small entity status. See 37 CFR 1.27

2. ☒ Payment Enclosed:

☒ Check ☐ Credit card ☐ Money Order ☐ Other

## FEE CALCULATION

### 1. BASIC FILING FEE

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
101 740	201 370	Utility filing fee	740.00
106 330	206 165	Design filing fee	
107 510	207 255	Plant filing fee	
108 740	208 370	Reissue filing fee	
114 160	214 80	Provisional filing fee	

SUBTOTAL (1) (\$ ) 740.00

### 2. EXTRA CLAIM FEES

Total Claims: 29  
Independent Claims: 2  
Multiple Dependent Claims: 0

Extra Claims: 9  
Fee from below: 18  
Fee Paid: 162.00

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description
103 18	203 9	Claims in excess of 20
102 84	202 42	Independent claims in excess of 3
104 280	204 140	Multiple dependent claim, if not paid
109 84	209 42	** Reissue independent claims over original patent
110 18	210 9	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$ ) 162.00

\*\*or number previously paid, if greater; For Reissues, see above

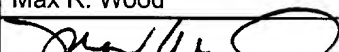
## FEE CALCULATION (continued)

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
105 130	205 65	Surcharge - late filing fee or oath	
127 50	227 25	Surcharge - late provisional filing fee or cover sheet	
139 130	139 130	Non-English specification	
147 2,520	147 2,520	For filing a request for ex parte reexamination	
112 920*	112 920*	Requesting publication of SIR prior to Examiner action	
113 1,840*	113 1,840*	Requesting publication of SIR after Examiner action	
115 110	215 55	Extension for reply within first month	
116 400	216 200	Extension for reply within second month	
117 920	217 460	Extension for reply within third month	
118 1,440	218 720	Extension for reply within fourth month	
128 1,960	228 980	Extension for reply within fifth month	
119 320	219 160	Notice of Appeal	
120 320	220 160	Filing a brief in support of an appeal	
121 280	221 140	Request for oral hearing	
138 1,510	138 1,510	Petition to institute a public use proceeding	
140 110	240 55	Petition to revive - unavoidable	
141 1,280	241 640	Petition to revive - unintentional	
142 1,280	242 640	Utility issue fee (or reissue)	
143 460	243 230	Design issue fee	
144 620	244 310	Plant issue fee	
122 130	122 130	Petitions to the Commissioner	
123 50	123 50	Processing fee under 37 CFR 1.17(q)	
126 180	126 180	Submission of Information Disclosure Stmt	
581 40	581 40	Recording each patent assignment per property (times number of properties)	40.00
146 740	246 370	Filing a submission after final rejection (37 CFR § 1.129(a))	
149 740	249 370	For each additional invention to be examined (37 CFR § 1.129(b))	
179 740	279 370	Request for Continued Examination (RCE)	
169 900	169 900	Request for expedited examination of a design application	

Other fee (specify) \_\_\_\_\_

SUBTOTAL (3) (\$ ) 40.00

## SUBMITTED BY

Name (Print/Type)	Max R. Wood	Registration No. (Attorney/Agent)	40,388	Telephone	(613) 230-6072
Signature		Date	12/21/2001		

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

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# OGILVY RENAULT

December 21, 2001

Assistant Commissioner for Patents  
Washington, D.C. 20231  
U.S.A.

Sir:

**Re: New United States Patent Application**  
**Title: HIGH AVAILABILITY PACKET FORWARDING**  
**APPARATUS AND METHOD**  
**Inventor(s): Scott S. PEGRUM *et al.***  
**Assignee: Nortel Networks Limited**  
**Our File: 9-13528-177US MRW:lf**

Transmitted herewith for filing is the patent application of:

**INVENTORS:** Scott S. PEGRUM;  
Matthew M. YUEN; and  
Nabila OULD-BRAHIM

**TITLE OF THE INVENTION:**  
**HIGH AVAILABILITY PACKET FORWARDING APPARATUS**  
**AND METHOD**

The following documents are enclosed:

- a) Utility Patent Application Transmittal PTO/SB/05
- b) Our cheque No. 006926, Fee Transmittal Form PTO/SB/17 (in duplicate), and Patent Application Fee Determination Record PTO/SB/06, covering:

Filing Fee	\$740.00
Recording of Assignment:	\$ 40.00
<b>Total Number of Claims: 29</b>	
Claims in excess of 20 (9 @ \$18):	<u>\$162.00</u>
<b>Total:</b>	<b>\$942.00</b>

Lawyers and patent and trade-mark agents

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Continuing the practices of  
**Meighen Demers**  
**Ogilvy Renault**  
**Swabey Ogilvy Renault**

Montréal • Ottawa • Québec • Toronto • Vancouver • London (England)

- c) Specification/Claims/Abstract
- d) Formal Drawings (4 Sheets - FIGs. 1-4)
- e) Declaration under 37 CFR 1.63  
with Patent Application Data Sheet
- f) Power of Attorney
- g) Assignment in favor of: **Nortel Networks Limited**  
with Recordation Form PTO-1619A
- j) Return receipt postcard.

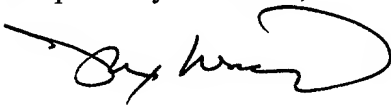
The applicant/inventor(s) qualify for **large** entity status.

Benefit under 35 U.S.C. 119(e) is claimed of United States Provisional Application  
No. 60/279,099 filed on March 27, 2001.

The Commissioner is hereby authorized to charge any additional fees which may be required,  
or credit any overpayment to our Account No. 19-5113.

Please note that the address of the agents for the applicant in this matter should be the  
Montreal address identified in the enclosed Power of Attorney. Correspondence may be  
directed to **Max R. Wood** at the Montreal address of Ogilvy Renault.

Respectfully submitted,



Max R. Wood  
Reg. No. 40,388  
Agent of Record

Encls.

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## PATENT APPLICATION FEE DETERMINATION RECORD

Application or Docket Number

9-13528-177US

## CLAIMS AS FILED - PART I

(Column 1)

(Column 2)

SMALL ENTITY

OR

OTHER THAN  
SMALL ENTITY

FOR	NUMBER FILED	NUMBER EXTRA
BASIC FEE (37 CFR 1.16(a))		
TOTAL CLAIMS (37 CFR 1.16(c))	29 minus 20 = *	9
INDEPENDENT CLAIMS (37 CFR 1.16(b))	minus 3 = *	
MULTIPLE DEPENDENT CLAIM PRESENT (37 CFR 1.16(d))		

RATE	FEE
	\$ _____
x \$ _____ =	
x _____ =	
+ _____ =	
TOTAL	0

RATE	FEE
	\$ 740
x \$ 18 =	162
x 80 =	
+ _____ =	
TOTAL	902

\* If the difference in column 1 is less than zero, enter "0" in column 2

## CLAIMS AS AMENDED - PART II

(Column 1)

(Column 2)

(Column 3)

SMALL ENTITY

OR

OTHER THAN  
SMALL ENTITY

AMENDMENT A	CLAIMS REMAINING AFTER AMENDMENT	HIGHEST NUMBER PREVIOUSLY PAID FOR	PRESENT EXTRA
Total (37 CFR 1.16(c))	*	Minus **	=
Independent (37 CFR 1.16(b))	*	Minus ***	=
FIRST PRESENTATION OF MULTIPLE DEPENDENT CLAIM (37 CFR 1.16(d))			

RATE	ADDI-TIONAL FEE
x \$ _____ =	
x _____ =	
+ _____ =	
TOTAL	0
ADDIT. FEE	

RATE	ADDI-TIONAL FEE
x \$ _____ =	
x _____ =	
+ _____ =	
TOTAL	0
ADDIT. FEE	

(Column 1)

(Column 2)

(Column 3)

TOTAL

OR

TOTAL

AMENDMENT B	CLAIMS REMAINING AFTER AMENDMENT	HIGHEST NUMBER PREVIOUSLY PAID FOR	PRESENT EXTRA
Total (37 CFR 1.16(c))	*	Minus **	=
Independent (37 CFR 1.16(b))	*	Minus ***	=
FIRST PRESENTATION OF MULTIPLE DEPENDENT CLAIM (37 CFR 1.16(d))			

RATE	ADDI-TIONAL FEE
x \$ _____ =	
x _____ =	
+ _____ =	
TOTAL	0
ADDIT. FEE	

RATE	ADDI-TIONAL FEE
x \$ _____ =	
x _____ =	
+ _____ =	
TOTAL	0
ADDIT. FEE	

(Column 1)

(Column 2)

(Column 3)

TOTAL

OR

TOTAL

AMENDMENT C	CLAIMS REMAINING AFTER AMENDMENT	HIGHEST NUMBER PREVIOUSLY PAID FOR	PRESENT EXTRA
Total (37 CFR 1.16(c))	*	Minus **	=
Independent (37 CFR 1.16(b))	*	Minus ***	=
FIRST PRESENTATION OF MULTIPLE DEPENDENT CLAIM (37 CFR 1.16(d))			

RATE	ADDI-TIONAL FEE
x \$ _____ =	
x _____ =	
+ _____ =	
TOTAL	0
ADDIT. FEE	

RATE	ADDI-TIONAL FEE
x \$ _____ =	
x _____ =	
+ _____ =	
TOTAL	0
ADDIT. FEE	

\* If the entry in column 1 is less than the entry in column 2, write "0" in column 3.

\*\* If the "Highest Number Previously Paid For" IN THIS SPACE is less than 20, enter "20".

\*\*\* If the "Highest Number Previously Paid For" IN THIS SPACE is less than 3, enter "3".

The "Highest Number Previously Paid For" (Total or Independent) is the highest number found in the appropriate box in column 1.

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